

PTO/SB/01 (09-04)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63) <input type="checkbox"/> Declaration Submitted With Initial Filing OR <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)	Attorney Docket Number	029869.00001-US01
	First Named Inventor	Craig A. Townsend
	COMPLETE IF KNOWN	
	Application Number	10/520,506
	Filing Date	January 7, 2005
	Art Unit	Not Yet Assigned
	Examiner Name	Not Yet Assigned

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Methods of Treating Microbial Infections in Humans and Animals

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 01/07/2005 as United States Application Number or PCT International

Application Number 10/520,506 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
PCT/US2003/2146	IB	07/09/2003	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☒ The address associated with Customer Number: **26853** OR ☐ Correspondence address below

Name COVINGTON & BURLING			
Address 1201 Pennsylvania Avenue, NW			
City Washington	State D.C.	ZIP 20004-2401	
Country US	Telephone 202.662.6000	Fax 202.662.6291	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) Craig A.		Family Name or Surname Townsend	
Inventor's Signature		Date	
Residence: City Baltimore	State MD	Country United States of America	Citizenship US
Mailing Address:	Department of Chemistry Johns Hopkins University 3400 N. Charles Street		
City Baltimore	State MD	ZIP 21218	Country United States of America
NAME OF SECOND INVENTOR:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle [if any]) James D.		Family Name or Surname Dick	
Inventor's Signature		Date	
Residence: City Baltimore	State MD	Country United States of America	Citizenship US
Mailing Address:	Johns Hopkins Hospital Meyer B1-193 600 N. Wolfe Street		
City Baltimore	State MD	ZIP 21287	Country United States of America

☒ Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet
Page <u>1</u> of <u>1</u>	

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Nicole M.		Parrish	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Ellicott City	MD	United States of America	US
Mailing Address: 2745 Weatherstone Drive			
City	State	Zip	Country
Ellicott City	MD	21042	United States of America
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Minerva Amorette		Hughes	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Baltimore	MD	United States of America	US
Mailing Address: #2-1 Sharondale Way			
City	State	Zip	Country
Baltimore	MD	21221	United States of America
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION		ADDITIONAL INVENTOR(S) Supplemental Sheet	
		Page 1 of 1	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Nicole M.		Parish	
Inventor's Signature	Date		
Ellicott City	MD	United States of America	US
Residence: City	State	Country	Citizenship
Mailing Address: 2745 Weatherstone Drive			
Ellicott City	MD	21042	United States of America
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Mingous Amorette		Hughes	
Inventor's Signature	Date		
Baltimore	MD	United States of America	US
Residence: City	State	Country	Citizenship
Mailing Address: #2-1 Sherondale Way			
Baltimore	MD	21221	United States of America
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature	Date		
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature	Date		
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country

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PTO/SB/86 (09-04)

Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Craig A. Townsend et al.

Application No./Patent No.: 10,520,506 Filed/Issue Date: January 7, 2005

Entitled: Methods of Treating Microbial Infections in Humans and Animals

Johns Hopkins University, a university
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

R. Keith Baker
Signature

10/31/05
Date

R. Keith Baker, Ph.D., MBA
Printed or Typed Name

410-516-4563
Telephone Number

Senior Director, Johns Hopkins University
Title

Rec'd PCT/PTO 01 NOV 2005

PTO/SB/81 (11-04)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number		10/520,506-Conf. #2647	
	Filing Date		January 7, 2005	
	First Named Inventor		Craig A. Townsend	
	Title	Methods of Treating Microbial Infections in Humans and Animals		
	Art Unit	Not Yet Assigned		
	Examiner Name	Not Yet Assigned		
Attorney Docket No.		029869.00001-US01		

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒ Practitioners associated with the Customer Number: 26853

OR

☐ Practitioner(s) named below:

Name	Registration Number	Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The address associated with the above-mentioned Customer Number.

OR

☐ The address associated with Customer Number:

OR

☐ Firm or Individual Name: COVINGTON & BURLING

Address: 1201 Pennsylvania Avenue, NW

City	Washington	State	D.C.	Zip	20004-2401
Country	USA	Telephone	202.662.6000	Email	

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature	Date
	10/21/05
Name	Telephone
R. Keith Baker, Ph.D., MBA	410-516-4563
Title and Company	
Senior Director, Johns Hopkins University	

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of 1 forms are submitted.

PTO/SB/01 (09-04)

Approved for use through 07/31/2006. OMB 0851-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63) <input type="checkbox"/> Declaration Submitted With Initial Filing <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)	Attorney Docket Number	029869.00001-US01
	First Named Inventor	Craig A. Townsend
	COMPLETE IF KNOWN	
	Application Number	10/520,506
	Filing Date	January 7, 2005
	Art Unit	Not Yet Assigned
	Examiner Name	Not Yet Assigned

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Methods of Treating Microbial Infections in Humans and Animals

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 01/07/2005 as United States Application Number or PCT International

Application Number 10/520,506 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
PCT/US2003/2146	IB	07/09/2003	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☒ The address associated with Customer Number: 26853 OR ☐ Correspondence address below

Name

COVINGTON & BURLING

Address

1201 Pennsylvania Avenue, NW

City Washington

State D.C.

ZIP 20004-2401

Country US

Telephone 202.662.6000

Fax 202.662.6291

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:

☐ A petition has been filed for this unsigned inventorGiven Name
(first and middle (if any))

Craig A.

Family Name
or Surname

Townsend

Inventor's
Signature

Date

Residence: City

Baltimore

State

MD

Country

United States of America

Citizenship

US

Mailing
Address:Department of Chemistry
Johns Hopkins University
3400 N. Charles Street

City

Baltimore

State

MD

ZIP

21218

Country

United States of America

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventorGiven Name
(first and middle (if any))

James D.

Family Name
or Surname

Dick

Inventor's
Signature

Date

Residence: City

Baltimore

State

MD

Country

United States of America

Citizenship

US

Mailing
Address:Johns Hopkins Hospital
Meyer B1-193
600 N. Wolfe Street

City

Baltimore

State

MD

ZIP

21287

Country

United States of America

☒Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet
Page <u>1</u> of <u>1</u>	

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Nicole M.		Parrish	
Inventor's Signature <i>Nicole M. Parrish</i>		Date <i>9-27-05</i>	
Residence: City <i>Ellicott City</i>	State <i>MD</i>	Country <i>United States of America</i>	Citizenship <i>US</i>
Mailing Address: <i>2745 Weatherstone Drive</i>			
City <i>Ellicott City</i>	State <i>MD</i>	Zip <i>21042</i>	Country <i>United States of America</i>
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Minerva Amorette		Hughes	
Inventor's Signature <i>Minerva Amorette</i>		Date	
Residence: City <i>Baltimore</i>	State <i>MD</i>	Country <i>United States of America</i>	Citizenship <i>US</i>
Mailing Address: <i>#2-1 Sharondale Way</i>			
City <i>Baltimore</i>	State <i>MD</i>	Zip <i>21221</i>	Country <i>United States of America</i>
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address:			
City	State	Zip	Country

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Craig A. Townsend et al.

Application No./Patent No.: 10/520,506 Filed/Issue Date: January 7, 2005

Entitled: Methods of Treating Microbial Infections in Humans and Animals

FASgen, LLC, a Limited Liability Company
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is 50 %
in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Craig A. Townsend et al. To: Johns Hopkins University
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: Johns Hopkins University To: FASgen, LLC
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Albert H. Owens Jr.
Signature

9.20.05
Date

Dr. Albert Owens, Jr.
Printed or Typed Name

410-538-9200
Telephone Number

President
Title

PTO/SB/81 (11-04)

Approved for use through 11/30/2005. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number	10/520,506-Conf. #2647
	Filing Date	January 7, 2005
	First Named Inventor	Craig A. Townsend
	Title	Methods of Treating Microbial Infections in Humans and Animals
	Art Unit	Not Yet Assigned
	Examiner Name	Not Yet Assigned
	Attorney Docket No.	029869.00001-US01

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☒ Practitioners associated with the Customer Number: 26853

OR

☐ Practitioner(s) named below:

Name	Registration Number	Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☐ Firm or Individual Name COVINGTON & BURLING

Address 1201 Pennsylvania Avenue, NW

City	Washington	State	D.C.	Zip	20004-2401
Country	USA	Telephone	202.662.6000	Email	

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature	<i>Albert H. Owens, Jr.</i>	Date	9.20.05
Name	Dr. Albert Owens, Jr.	Telephone	
Title and Company	President, FASgen, LLC		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of 1 forms are submitted.

Verified Statement (Declaration) Claiming Small Entity Status
(37 C.F.R. §§ 1.9(e) and 1.27(d)) – Nonprofit Organization

Applicant or Patentee: Craig A. Townsend et al.
Appl. or Patent No.: 10/520,506; Attorney Docket No. 029869.00001-US01
Filed or Issued: January 7, 2005
For: METHODS FOR TREATING MICROBIAL INFECTIONS IN HUMANS AND ANIMALS

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Johns Hopkins University
ADDRESS OF NONPROFIT ORGANIZATION 4910 Eastern Avenue, Baltimore, Maryland 21224

TYPE OF NONPROFIT ORGANIZATION

- ☒ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of The United States of America
(Name of state _____)
(Citation of statute _____)
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in The United States of America
☐ Would qualify as nonprofit scientific or educational under statute of state of The United States of America if located in The United States of America
(Name of state _____)
(Citation of statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention must file a separate verified statement averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization (other than the nonprofit organization identified above) having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each such person, concern, or organization is listed below:

NAME FASep, LLC
ADDRESS Bayview Medical Campus, 5210 Eastern Avenue, Baltimore, Maryland 21224

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status, resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that those statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING R. Keith Baker, Ph.D., MBA
TITLE IN ORGANIZATION Senior Director
ADDRESS OF PERSON SIGNING 4910 Eastern Avenue, Baltimore, Maryland 21224
SIGNATURE [Signature] DATE 10/21/05

COVINGTON & BURLING
1201 Pennsylvania Avenue, N.W., Washington, D.C. 20004-2401
(202) 662-6000

BEST AVAILABLE COPY

**Verified Statement (Declaration) Claiming Small Entity Status
(37 C.F.R. § 1.27 – Small Business Concern)**

Applicant or Patentee: Craig A. Townsend et al.

Filed or Issued: January 7, 2005

Application or Patent No.: 10/520,506

Attorney Docket No.: 029869.00001-US01

For: METHODS OF TREATING MICROBIAL INFECTIONS IN HUMANS AND ANIMALS

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN: FASgen, LLC

ADDRESS OF SMALL BUSINESS CONCERN: Bayview Medical Campus, 5210 Eastern Avenue, Baltimore, Maryland 21224

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. § 121.801-805, for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor, if that person made the invention or by any concern which would not qualify as a small business concern or a nonprofit organization under 37 C.F.R. § 1.27.

Each person, concern or organization (other than the small business concern identified above) having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each person, concern, or organization is listed below.

NAME Johns Hopkins University

ADDRESS 4910 Eastern Avenue, Baltimore, Maryland 21224

() INDIVIDUAL () SMALL BUSINESS CONCERN (X) NONPROFIT ORGANIZATION

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

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I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. §1.27).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Albert Owens, Jr. Albert H. Owens, Jr.

TITLE IN ORGANIZATION President

ADDRESS OF PERSON SIGNING: Bayview Medical Campus, 5210 Eastern Avenue
Baltimore, Maryland 21224

SIGNATURE Albert H. Owens, Jr. DATE 9.20.05

ASSIGNMENT

WHEREAS, Johns Hopkins University, a corporation organized under and pursuant to the laws of Maryland having its principal place of business at 4910 Eastern Avenue; Baltimore, Maryland 21224 (hereinafter referred to as Assignor), is the sole and exclusive owner, by assignment, of the Patent Application listed in Schedule A; and

WHEREAS, FASgen, LLC and Johns Hopkins University, a Limited Liability Company and University, respectively organized under and pursuant to the laws of Maryland and Maryland, respectively having their principal places of business at Bayview Medical Campus, 5210 Eastern Avenue, Baltimore, Maryland 212234; and 4910 Eastern Avenue, Baltimore, Maryland 21224, respectively (hereinafter referred to as Assignees), are desirous of acquiring the right, title and interest in, to and under said Patent Application and the invention covered thereby;

NOW, THEREFORE, in consideration of and in exchange for the sum of One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged, the said Assignor has sold, assigned, transferred and set over, and does hereby sell, assign, transfer and set over to the said Assignees, the entire right, title and interest for the United States of America and all other countries in and to said applications for all original, divisional, continuation, continuation-in-part, substitute or reissue applications and patents applied for or granted therefore in the United States of America and all other countries on the attached list of *Schedule A*, and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on *Schedule A* to said assignees herein, as assignees of the entire interest therein; and the undersigned for itself and its legal representatives, heirs and assigns does hereby agree and covenant without further remuneration, to execute and deliver all divisional, continuation, continuation-in-part, reissue and other applications for Letters Patent and all assignments thereof to said assignees or their assigns, to communicate to said assignees or their representatives all facts known to the undersigned respecting said invention listed on *Schedule A* whenever requested, to testify in any interferences or other legal proceedings in which said application or patent may become involved, to sign all lawful papers, make all rightful oaths, and do generally everything necessary to aid assignee, its successors, assigns and nominees to obtain patent protection for said invention listed on *Schedule A* in the United States of America and all other countries, the

expenses incident to said application listed on *Schedule A* to be borne and paid by said assignees.

SCHEDULE A

Application Number	Filing Date	Inventor	Title	Ctry
10/520,506	Jan 7, 2005	Craig A. Townsend	Methods of Treating Microbial Infections in Humans and Animals	US

R. Keith Baker

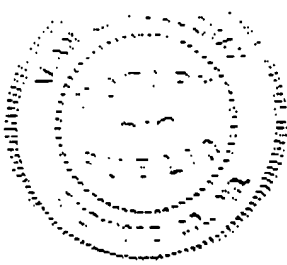
R. Keith Baker, Ph.D., MBA
R. Keith Baker, Ph.D.
Sr. Director
Johns Hopkins Technology Transfer

Date: Oct. 31, 2005

United States of America)
State of Maryland) ss.:
County of Baltimore)

On this 31 day of October, 2005, before me
personally came R. Keith Baker, Ph.D., MBA, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.

[Signature]
Notary Public



ASSIGNMENT BY INVENTORS

THIS ASSIGNMENT, made by Craig A. Townsend; James D. Dick; Nicole M. Parrish; and Minerva A. Hughes (hereinafter referred to as Assignors), residing at Department of Chemistry, Johns Hopkins University, 3400 N. Charles Street, Baltimore, Maryland 21218; Johns Hopkins Hospital, Meyer B1-193, 600 N. Wolfe Street, Baltimore, Maryland 21287; 2745 Weatherstone Drive, Ellicott City, Maryland 21042; and #2-1 Sharondale Way, Baltimore, Maryland 21221, respectively;

WHEREAS, Assignors have invented certain new and useful improvements in Methods of Treating Microbial Infections in Humans and Animals, set forth in a Patent application for Letters Patent of the United States, already filed on January 7, 2005 as U.S. application No. 10/520,506; and

WHEREAS, Johns Hopkins University, a university, having its principal places of business at 4910 Eastern Avenue, Baltimore, Maryland 21224, (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said inventions and said Application for Letters Patent of the United States, and in and to any Letters Patent of the United States to be obtained therefore and thereon.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, Assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto Assignees, their successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions and application for Letters Patent, and in and to any and all direct and indirect divisions, continuations and continuations-in-part of said application, and any and all Letters Patent in the United States and all foreign countries which may be granted therefore and thereon, and reissues, reexaminations and extensions of said Letters Patent, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by Assignees, for their own use and benefit and the use and benefit of their successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent may be granted and/or extended, as fully and entirely as the

same would have been held and enjoyed by Assignors, had this sale and assignment not been made.

AND for the same consideration, Assignors hereby represent and warrant to Assignees, their successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, except for any rights, titles and/or interests that have arisen to Assignees under law or that have already been transferred to Assignees, Assignors are the sole and lawful owners of the entire right, title and interest in and to the said inventions and application for Letters Patent above-mentioned, and that the same are unencumbered and that Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, Assignors hereby covenant and agree to and with Assignees, their successors, legal representatives and assigns, that Assignors will sign all papers and documents, take all lawful oaths and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of any Letters Patent and applications for Letters Patent for said inventions, without charge to Assignees, their successors, legal representatives and assigns, whenever counsel of Assignees, or counsel of their successors, legal representatives and assigns, shall advise: that any proceeding in connection with said inventions, or said Patent application for Letters Patent, or any proceeding in connection with any Letters Patent or applications for Letters Patent for said inventions in any country, including but not limited to interference proceedings, is lawful and desirable; or, that any division, continuation or continuation-in-part of any application for Letters Patent, or any reissue, reexamination or extension of any Letters Patent, to be obtained thereon, is lawful and desirable.

AND Assignors hereby request the Commissioner of Patent and Trademarks to issue said Letters Patent of the United States to Assignees, as Assignees of said inventions and the Letters Patent to be issued thereon, for the sole use and benefit of Assignees, their successors, legal representatives and assigns.

AND Assignors hereby grant the following individuals the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply

with the rules of the United States Patent and Trademark Office for recordation of this document:

COVINGTON & BURLING

All practitioners at Customer Number 26853

AND Assignors acknowledge an obligation of assignment of this invention to Assignees at the time the invention was made.


Craig A. Townsend

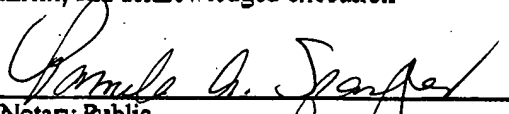
Date: 22 Sept. 2005

United States of America

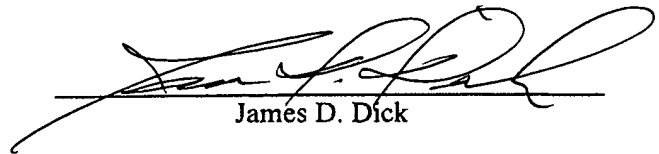
State of MARYLAND) ss.:

County of BALTIMORE)

On this 22 day of Sept, 2005, before me
personally came Craig A. Townsend, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.


Notary Public

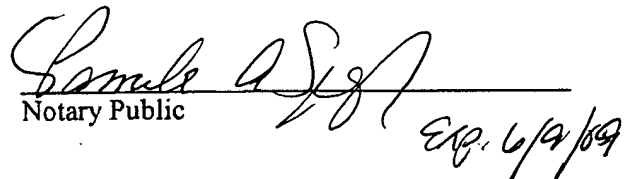
Exp. 6/9/09


James D. Dick

Date: 9/27/05

United States of America)
State of MO) ss.:
County of Balto)

On this 27 day of Sept, 2005, before me
personally came James D. Dick, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.


Notary Public
Exp. 6/12/09

Nicole m. Parrish

Nicole M. Parrish

Date: 9-21-05

United States of America)
State of MD) ss.:
County of Balto.)

On this 21 day of Sept, 2005, before me
personally came Nicole M. Parrish, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.

Thomas G. Jones
Notary Public

Exp. 6/9/09

Minerva Hughes
Minerva A. Hughes

Date: 9/22/05

United States of America
State of Maryland) ss.:
County of Baltimore City

On this 22nd day of September, 2005, before me
personally came Minerva A. Hughes, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.

Shirley A. Decker
Notary Public

Exp. 6/9/09

ASSIGNMENT BY INVENTORS

THIS ASSIGNMENT, made by Craig A. Townsend; James D. Dick; Nicole M. Parrish; and Minerva A. Hughes (hereinafter referred to as Assignors), residing at Department of Chemistry, Johns Hopkins University, 3400 N. Charles Street, Baltimore, Maryland 21218; Johns Hopkins Hospital, Meyer B1-193, 600 N. Wolfe Street, Baltimore, Maryland 21287; 2745 Weatherstone Drive, Ellicott City, Maryland 21042; and #2-1 Sharondale Way, Baltimore, Maryland 21221, respectively;

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WHEREAS, Johns Hopkins University, a university, having its principal places of business at 4910 Eastern Avenue, Baltimore, Maryland 21224, (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said inventions and said Application for Letters Patent of the United States, and in and to any Letters Patent of the United States to be obtained therefore and thereon.

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same would have been held and enjoyed by Assignors, had this sale and assignment not been made.

AND for the same consideration, Assignors hereby represent and warrant to Assignees, their successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, except for any rights, titles and/or interests that have arisen to Assignees under law or that have already been transferred to Assignees, Assignors are the sole and lawful owners of the entire right, title and interest in and to the said inventions and application for Letters Patent above-mentioned, and that the same are unencumbered and that Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

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AND Assignors hereby request the Commissioner of Patent and Trademarks to issue said Letters Patent of the United States to Assignees, as Assignees of said inventions and the Letters Patent to be issued thereon, for the sole use and benefit of Assignees, their successors, legal representatives and assigns.

AND Assignors hereby grant the following individuals the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply

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COVINGTON & BURLING

All practitioners at Customer Number 26853

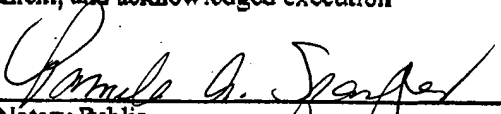
AND Assignors acknowledge an obligation of assignment of this invention to Assignees at the time the invention was made.


Craig A. Townsend

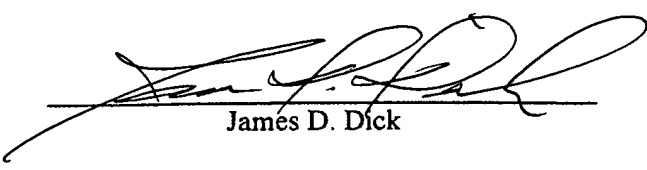
Date: 22 Sept. 2005

United States of America
State of MARYLAND) ss.:
County of BALTIMORE)

On this 22 day of Sept, 2005, before me
personally came Craig A. Townsend, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.


Notary Public

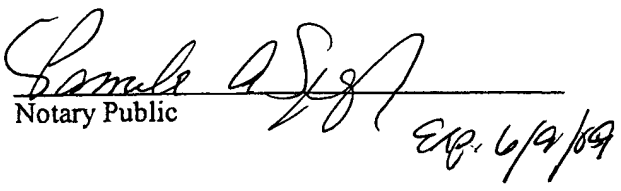
Exp. 6/9/09


James D. Dick

Date: 9/27/05

United States of America)
State of MO) ss.:
County of Balto)

On this 27 day of Sept, 2005, before me
personally came James D. Dick, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.


Notary Public
Exp. 6/19/09

Nicole m. Parrish

Nicole M. Parrish

Date: 9-21-05

United States of America)
State of MD) ss.:
County of Balto.)

On this 21 day of Sept, 2005, before me
personally came Nicole M. Parrish, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.

Shirley A. Grant
Notary Public

Exp. 6/9/09

Minerva Hughes
Minerva A. Hughes

Date: 9/22/05

United States of America
State of Maryland) ss.:
County of Baltimore City

On this 22nd day of September, 2005, before me
personally came Minerva A. Hughes, to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged execution
of the same.

Shirley A. Joffe
Notary Public

Exp. 6/9/09

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